



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
**WAKAYAMA et al.**  
Appl. No. 09/995,695  
Filed: November 29, 2001  
For: **Integrated Direct Conversion  
Satellite Tuner**

Confirmation No. 9797  
Art Unit: 2817  
Examiner: *(to be assigned)*  
Atty. Docket: 1875.1210001

**Information Disclosure Statement**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

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This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- 2. Filing under 37 C.F.R. § 1.97((b)). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to

the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- c. Attached is our PTO-2038 Credit Card Payment Form [OR] Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
- a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- 5. Documents AA1-AD1 and AL1-AM1 were cited in a search report by a foreign patent office in a counterpart foreign application. A copy of the search report is enclosed as document AR1 on the attached PTO Form 1449.
- 6. A concise explanation of the relevance of non-English language document AM1 appears below:

Document AN1 is a corresponding British counterpart of document AM1.

- 7. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Jeffrey T. Helvey  
Attorney for Applicants  
Registration No. 44,757

Date: 1/10/03

1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934  
(202) 371-2600

FORM PTO-1449

INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
1875.1210001APPLICATION NO.  
09/995,695APPLICANT  
Wakayama et al.FILING DATE  
November 29, 2001GROUP  
2817

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,819,157	10/1998	Ben-Efraim et al.			
	AB1	5,859,559	01/1999	Hong et al.			
	AC1	5,884,154	03/1999	Sano et al.			
	AD1	6,150,875	11/2000	Tsinker			
	AE1						
	AF1						
	AG1						
	AH1						
	AI1						
	AJ1						
	AK1						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1	WO 00/13306	03/2000	PCT	H03D	7/16	Yes No
	AM1	DE 199 24 039 A1	12/1999	Germany	G01R	31/303	Yes No
	AN1	GB 2 339 351	01/2000	United Kingdom	H03L	7/099	Yes No
	AO1						Yes No
	AP1						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>1</u>	Copy of International Search Report for Appln. No. PCT/US01/44321, issued October 30, 2002, 7 pages.
	AS	<u>1</u>	
	AT	<u>1</u>	

EXAMINER

DATE CONSIDERED

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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Robert Greene Sterne  
Edward J. Kessler  
Jorge A. Goldstein  
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Tracy-Gene G. Durkin  
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Michael B. Ray  
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Rodney G. Maze  
Jason D. Eisenberg  
Michael A. Specht\*  
Andrea J. Kamage  
Tracy L. Muller\*

Jon E. Wright\*  
LuAnne M. Yurick\*  
**Registered Patent Agents**  
Karen R. Markowicz  
Nancy J. Leith  
Ann E. Summerfield  
Helene C. Carlson  
Gaby L. Longsworth  
Matthew J. Dowd  
Aaron L. Schwartz  
Angelique G. Uy  
Boris A. Matvienko  
Mary B. Jung  
Katrina Y. Pei  
Bryan L. Skelton  
Robert A. Schwartzman  
John J. Figueroa

Timothy A. Doyle  
Jennifer R. Mahafingappa  
Teresa A. Coletta  
Jeffrey S. Lundgren  
Victoria S. Rutherford  
W. Brian Edge  
**Senior Counsel**  
Samuel L. Fox  
Kenneth C. Bass III  
Lisa A. Dunner  
  
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•Admitted only in Virginia  
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January 10, 2003

WRITER'S DIRECT NUMBER:  
(202) 371-2675

INTERNET ADDRESS:  
JHELVY@SKGF.COM

Commissioner for Patents  
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Re: U.S. Utility Patent Application  
Appl. No. 09/995,695; Filed: November 29, 2001  
For: **Integrated Direct Conversion Satellite Tuner**  
Inventors: Wakayama *et al.*  
Our Ref: 1875.1210001/RES/JTH

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement (IDS)(with a copy of the International Search Report received in the foreign counterpart application);
2. Form PTO-1449 (1 page) with 8 accompanying documents; and
3. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Jeffrey T. Helvey  
Attorney for Applicants  
Registration No. 44,757

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Enclosures

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